



**SUBJECT:** USAID/DCHA/OFDA Annual Program Statement (APS) No. APS-OFDA-12-000004 OFDA-FY-12-000004-APS for *Operationalizing a Neighborhood Approach to Reduce Urban Disaster Risk in Latin America and the Caribbean*

**ISSUANCE DATE:** February 27, 2012

## **A. AUTHORITY AND INTRODUCTION**

Pursuant to the Foreign Assistance Act of 1961, as amended (FAA), the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of U.S. Foreign Disaster Assistance (OFDA), is seeking to support or stimulate the activities described in this Annual Program Statement (APS).

Section 491 of the FAA authorizes USG assistance for natural and human-caused disasters abroad, as well as disaster risk reduction (DRR) activities designed to reduce the impact of recurrent natural hazards and foreign disasters.

Pursuant to Section 493 of the FAA, the USAID Administrator has been appointed as the President's Special Coordinator for International Disaster Assistance, with responsibility to promote maximum effectiveness and coordination by USG agencies and between the U.S. and other donors in responses to foreign disasters. USAID/OFDA provides technical support to the President's Special Coordinator for International Disaster Assistance and coordinates the U.S. Government response to disasters in foreign countries. USAID/OFDA is the primary operating unit within USAID for the provision of international disaster assistance, except for (1) emergency food aid, where USAID's Office of Food for Peace (DCHA/FFP) is considered the primary operating unit, and (2) cases where a determination is made that a country is in transition to democracy and USAID's Office of Transition Initiatives (DCHA/OTI) is designated as the primary operating unit. To this end, the USAID/OFDA Director is responsible for planning, developing, implementing, monitoring, and evaluating assistance for international disaster relief and DRR activities.

USAID/OFDA responds to all types of foreign natural disasters, including earthquakes, volcanic eruptions, cyclones, floods, droughts, wild fires, pest infestations, and disease outbreaks. USAID/OFDA also provides assistance when lives or livelihoods are threatened by catastrophes, such as civil conflict, acts of terrorism, or technological disasters. Disasters cause loss of life or injury, damage to private or public infrastructure, and interruption of livelihoods. Foreign disasters comprise both acts of nature and human-caused events that threaten lives and disrupt economic and

social activities. USAID defines a foreign disaster as one which occurs outside the United States, its territories, or possessions, and may be:

- Sudden-onset disasters, such as a flood, tsunami, hurricane, wildfires, earthquake, volcanic eruption, and secondary disasters induced by these extremes, such as landslides, or civil disturbances;
- A human-caused act, such as civil strife, often causing internal displacement of large numbers of people;
- A complex emergency that usually includes a combination of humanitarian, political, and military dimensions; or
- A slow-onset disaster, such as drought, food insecurity, or epidemic.

USAID/OFDA not only responds to disasters but also works with disaster-prone countries to prevent, mitigate, and prepare for the effects of recurrent natural disasters. This includes assistance relating to disaster preparedness, and to risk reduction activities, to lessen adverse impacts of, and to enhance the prediction of and contingency planning for natural disasters abroad. Disaster planning and preparedness may include identifying vulnerability to recurrent natural hazards in a country or region, building capacity for effective and timely response strategies, and conducting advance planning for relief, rehabilitation, and reconstruction. Disaster risk reduction measures implement activities to reduce adverse impact of natural disasters on human life, livelihoods, and property through activities to increase resiliency to natural hazards. Recognizing the benefits in lives and resources saved, USAID/OFDA provides DRR to reduce risks to vulnerable people and property posed by natural and human-caused hazards. DRR activities take many forms, including, but not limited to:

- Building capacity of national and local disaster management entities and communities on timely and effective response and preparedness;
- Provision of technical assistance in national disaster planning for institutions, officials, and other individuals in disaster-prone countries to improve disaster management;
- Implementation of community-based disaster risk reduction, such as community-focused tsunami preparedness; and
- Strengthening hazard early warning system capacities.

The purpose of this APS is to disseminate information to enable prospective applicants to decide whether to seek USAID/OFDA funding in support of the subject *Operationalizing a Neighborhood Approach to Reduce Urban Disaster Risk in Latin America and the Caribbean* program and, if so, to assist them in developing and submitting applications. USAID/OFDA assumes no liability for reimbursing potential applicants for any costs they incur in the preparation and submission of applications.

This APS: (1) provides contextually relevant background information; (2) describes the program aim, results, and types of activities for which applications will be considered; (3) describes the level of funding available and the process and requirements for submitting applications; (4) explains the criteria for evaluating and selecting applications; and (5) refers prospective applicants to related documentation available on the Internet.

USAID/OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/pdf/updated\\_guidelines\\_unsolicited\\_proposals\\_reporting.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/updated_guidelines_unsolicited_proposals_reporting.pdf), stipulates that they do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether USAID/OFDA solicits applications (such as through this APS) or an organization submits an unsolicited application. Thus, for the sake of brevity and in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail.

As of November 1, 2005, the preferred method of distribution of USAID APS' and submission and receipt of applications is electronically via <http://www.grants.gov> ("Grants.gov"), which provides a single source for USG-wide competitive grant opportunities. This APS and any future amendments or additions can be downloaded from that website. In order to use this method, an applicant must first register on-line with Grants.gov. If the applicant has difficulty registering or accessing the APS or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance. It is the responsibility of the recipient of the APS and any related documentation to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.gov so that as changes are posted to this and other USG (including USAID) solicitations, alerts will be received.

## **B. SPECIFIC PROGRAMMATIC GUIDANCE**

### **1. Background**

The USAID/OFDA Regional Office for Latin America and the Caribbean (LAC), headquartered in San Jose, Costa Rica, was established in 1983. During the early years, USAID/OFDA's work focused principally on responding to emergencies in the region. However, by the late 1980s, USAID/OFDA began to complement response activities with a program of training for first responders and emergency managers. Through the years, this training program has evolved from focusing primarily on USAID/OFDA-funded training to a multi-layered program providing specialized technical assistance to participating agencies in host countries, which for the most part assume the training costs themselves. Today, governments and organizations in 30 countries participate in the USAID/OFDA Regional Disaster Assistance Program (RDAP), which focuses on training and technical assistance for both response and disaster risk reduction (DRR) activities.

For more than a decade, USAID/OFDA has supported a variety of DRR initiatives in the region to raise awareness of and build the capacity of local governments and organizations to prepare for and respond to natural disasters frequently encountered in Latin America and the Caribbean. These efforts have included interventions at both policy and operational levels and promoted preparedness and mitigation themes.

In 2009, USAID/OFDA's LAC regional office in San José developed a five-year disaster risk reduction (DRR) plan to further enhance and focus its approach for promoting self-sufficiency in disaster preparedness, management and mitigation at local and national levels. The three key components of the plan are:

- Safeguarding livelihood assets
- Preventing the loss of shelter
- Building capacity for disaster risk management and risk reduction

Priority is placed on areas with at-risk populations, as well as areas recently affected by disasters, historically vulnerable areas, areas either undergoing rapid urbanization and unplanned growth or slated for expansion, and areas undergoing post-disaster transition.

In 2011, the USAID/OFDA DRR strategy for LAC<sup>1</sup> was updated for 2012-2014 to prioritize urban disaster risk reduction as an area of interest and align the strategy with the Hyogo Framework of Action.

### Disaster Risk Management in the Urban Environment

Urban areas present a number of unique challenges and opportunities for responding to and building resiliency against the impacts of disasters including<sup>2</sup>:

- Cities in the developing world are facing increased risk of disasters and the potential of economic and human losses from natural hazards is being exacerbated by the rate of unplanned urban expansion and influenced by the quality of urban management.
- Climate change brings additional challenges with a growing number and variety of impacts on cities, their critical ecosystems and citizens' livelihoods.
- New residents and the urban poor living in peri-urban areas and informal settlements are particularly vulnerable due to their tendency of residing in high risk areas and faulty shelters, having limited access to basic and emergency services, and a general lack of economic resilience.
- The option of doing nothing can be more costly than proactively identifying and managing risks. If no steps are taken to identify and manage disaster risks and climate change, resulting losses will have severe implications on the safety, quality of life and economic performance of cities.
- Better urban management and governance is at the heart of reducing disaster risk and climate change risks and making cities safer.
- Cities can plan and respond better if the location and nature of risk is known, and also if the risk assessment and management processes are mainstreamed in urban development and management programs.

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<sup>1</sup>

[http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/sectors/files/fy2012/lac\\_drr\\_plan.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/sectors/files/fy2012/lac_drr_plan.pdf)

<sup>2</sup> World Bank (2011). *Urban Risk Assessments: An Approach for Understanding Disasters and Climate Risk in Cities*.

The January 2010 earthquake in Haiti awakened awareness of these challenges and the integral need to address the numerous, complex, and pervasive issues that arise during a response to a disaster in a large urban area. However, the risks and conditions in Haiti that resulted in catastrophic loss and damages are not unique in the region – the continued, rapid growth of cities throughout LAC exposes ever-increasing numbers of people to the numerous natural hazards prevalent in the region while the impacts of climate change further present challenges for building disaster resilience in urban areas:

- In 2001, USAID/OFDA and the U.S. Geologic Survey (USGS) collaborated on an informal ranking of the developing country cities at highest earthquake risk worldwide. Based on an evaluation of seismic hazard, quality of building stock, size of population, and projected response capacity, eight cities in the LAC region were included among the top 20 cities with the highest risk.
- Offshore seismic activity contributes to an elevated tsunami hazard in LAC. Although not all tsunamis are basin-wide or destructive, on average, the Pacific region is affected by a tsunami every two years. Recent tsunamis affecting LAC in the Eastern Pacific have highlighted coastal vulnerabilities and gaps in preparedness. Cities and coastal towns such as Masachapa, Nicaragua; Puntarenas, Costa Rica; Tumaco, Colombia; and Concepción, Chile are all highly vulnerable, and most have suffered loss of life or infrastructure damage from tsunami events over the last two decades. The Caribbean is also exposed to localized and distant tsunami-producing sources.
- The LAC region includes approximately 350 potentially active volcanoes, and many of them are close enough to produce eruptions that can impact urban areas. The two most deadly eruptions in the 20th century occurred in the LAC region: the Mt. Pelée volcano in Martinique resulted in approximately 29,000 deaths in 1902, and the Nevado Del Ruiz volcano in Colombia resulted in approximately 23,000 deaths in 1985.
- The combination of hydro-meteorological phenomena, including hurricanes and other tropical phenomena, and topographical characteristics places large numbers of marginal neighborhoods and their residents at high risk on a repeated, seasonal basis. Climate change has a multiplier effect on these hydro-meteorological hazards, increasing the probability of extreme weather events such as heat waves, torrential rains and droughts. In the Andes, the recession of glaciers – the major water source for Pacific Coast cities – will likely cause disruption and/or shortages in the water supply as well as sudden-onset flooding, glacier lake outburst floods, and other natural hazards.

In 2010, approximately 80 percent of the population in the LAC region was estimated to reside in cities. By 2050, the urban population in LAC is predicted to grow by nearly 10 percent<sup>3</sup>. Yet, throughout the LAC region, the growth of cities has often been haphazard; as a result of high density settlement, large numbers of residents in urban areas are exposed to elevated levels of risk across a broad range of factors, including underlying socio-cultural, economic, and environmental conditions. As evidenced by the impacts of the January 2010 earthquake in Haiti, without appropriate planning, preparedness and mitigation measures to specifically address the needs of growing urban populations, the impacts of future disasters can have devastating consequences.

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<sup>3</sup> United Nations, Department of Economic and Social Affairs, Populations Division (2009). *World Urbanization Prospects: The 2009 Revision*.

At the same time, however, the urban sector offers certain advantages with regard to DRR, including availability of professionals in all disciplines; broad diversity of private sector activities; access to media; and potential to influence key decision-makers, among others.

#### Addressing urban risk by focusing on neighborhoods

USAID/OFDA urban DRR efforts are aimed at reducing risk in informal and marginalized neighborhoods by supporting sustainable participatory planning methodologies and the implementation of risk mitigation measures. These measures include:

- Improving unsafe living environments
- Clarifying ambiguous land tenure and rights to build/occupy shelter
- Improving access to neighborhood health, markets, water, and sanitation services
- Addressing limitations of space and high population density
- Addressing poverty and economic vulnerability
- Reducing vulnerability to floods, landslides, high winds, and seismic activity.

One of USAID/OFDA's main contributions towards the improvement of the conditions in informal settlements is the "neighborhood approach." The "neighborhood approach," which has been field tested in Haiti and other disaster-affected parts of the world, is an integrated, multi-sectoral analytical framework to address the multi-faceted challenges posed by the urban environment. By focusing on neighborhoods – geographic areas of cities typically defined by social, economic, and physical features, which often serve as the basis for administrative/political recognition within larger jurisdictions and which provide their residents with an identity in the urban arena – the framework enables an understanding of available local resources, emergent opportunities, and potential constraints regarding the sheltering of people, the recovery of affected economies and livelihoods, and the reduction of risks associated with vulnerability to natural hazards.

The neighborhood approach encompasses a number of elements that share four main characteristics:

- Compliance with local laws and regulations as well as internationally recognized guidelines such as the Sphere Project;
- Fosters the reduction of the economic and social impacts of present and future disasters;
- Reflects the needs of the main stakeholders, especially those deemed the most vulnerable;
- Relies on the use of Geographic Information Systems (GIS) to collect, analyze, store, and disseminate information.

The neighborhood approach permits a move away from conventional "four walls and a roof" efforts focused on households, and towards a more synergistic and complementary focus on communities in defined spatial contexts – neighborhoods. It provides a base for coordinated efforts towards sustainable engagement with communities by defining the framework within which housing, infrastructure, transport, integrated environmental and natural resource management, and future growth occur.

While conceived to facilitate post-disaster recovery the neighborhood approach is clearly relevant for urban DRR programming as well. USAID/OFDA believes that by working closely with residents through a participatory, consultative neighborhood planning process, informed decision-making on improved land utilization – configuring/reconfiguring land to best accommodate shelter and related services, livelihoods, social connections, and the health and security of populations – will save lives, alleviate suffering, and reduce the social and economic impact of disasters.

USAID/OFDA plans to award up to \$6 million in FY 2012 for the implementation of activities in the LAC region that operationalize the neighborhood approach as a means of reducing disaster risk in urban settings. Final funding levels will depend on quality of applications, availability of funding and competing priorities.

## **2. Program Scope and Objective(s) of this APS**

USAID/OFDA's mandate is to save lives, alleviate human suffering, and reduce the economic impact of disasters worldwide. The objective of this APS is to support innovative and/or proven ways to reduce the risk of disasters to shelter, livelihoods and water and sanitation services in hazard-prone, vulnerable urban settlements, particularly marginalized and/or informal neighborhoods and populations, through applying a neighborhood approach.

To successfully achieve the objective of this APS, applications must incorporate the following four phases of the neighborhood approach in the technical description of the project:

1. Participatory Risk Assessments and Planning (if needed)
2. Formulation and Adoption of DRR Plans
3. Selection and Implementation of Activities
4. Systematization and Dissemination of Project Results

### **Participatory Risk Assessment and Planning**

*Note: Applications demonstrating expertise and strong contextual understanding of proposed locations based on prior comprehensive participatory urban risk assessments will receive preference. Applications for assessment projects as standalone activities will not be considered for funding.*

While applications should reflect a strong understanding of risks and resources/opportunities in the proposed targeted urban areas/neighborhoods, including identification of key vulnerabilities and exposures, USAID/OFDA understands that applicants may not have complete information on all the risk scenarios in targeted neighborhoods. Applications should detail the project planning process, including participatory risk assessments that will be conducted at the onset of the project to validate needs and ensure that implementation plans comprehensively and appropriately address community needs. Applications should clearly describe methodology for conducting a detailed participatory risk assessment as part of the planning process prior to final implementation of activities. Key components of the planning phase to be addressed in the application include:

- Identification of existing hazard and vulnerability/exposure maps and studies. Primary data collection should complement existing sources only when required.
- Mapping of and coordination with relevant governmental and non-governmental actors and other local resources, including community-based organizations and men's and women's groups, as appropriate.
- Collection of information on land parcels (geo-referenced); land utilization (construction type and function), tenancy status (private vs. public, owner-occupied vs. rented), and socio-economic data, sex- and age-disaggregated when possible.

### Formulation and Adoption of Implementation Plans

Successful applicants will be required to submit a detailed implementation plan to USAID/OFDA for final approval following the completion of the planning phase. The interventions described in the plan will be reviewed by an inter-disciplinary team from USAID and may also include representatives of key outside actors.

Implementation plans should comprehensively address needs identified during the participatory risk assessments including:

- Facilitation of information-sharing, including support or development of Geographic Information Systems (GIS) and other data collection and management tools and processes, between community stakeholders and relevant municipal authorities.
- Engagement of local government at strategic and operational levels to promote project sustainability.
- Promotion of sustainable land tenure policies and integration of basic municipal services, including water, sewage, electricity, and sewage waste collection, with local governments.
- Development of local government capacity for project sustainability.

Applications should clearly describe the process for developing a detailed implementation plan based on findings during the planning phase, including coordination with relevant stakeholders to ensure community engagement and long-term sustainability of project activities.

### Selection and Implementation of Activities

Selection and implementation of activities must fall within the three priority sector under this APS: Shelter and Settlements (S&S), Economic Recovery and Market Systems (ERMS), and/or Water, Sanitation, and Hygiene (WASH). Final project activities will be contingent on the planning phase and development of an approved implementation plan; however, applications should demonstrate a strong contextual understanding of targeted neighborhoods, including risks and vulnerabilities, as well as an appropriate methodology and available resources to implement proposed project activities.

### Systematization and Dissemination of Project Results



Applicants should describe how project results, including lessons learned and best practices, will be shared with community stakeholders, including community-based organizations and men's and women's groups, relevant government authorities, and the humanitarian community.

Linkage to other urban DRR initiatives:

There are several key international, regional, and national initiatives aimed at promoting DRR in urban settings. OFDA/LAC is an active supporter of several of these efforts and expects that all applications under this APS will reflect awareness of, as well as consistency with, these initiatives, including:

1. USAID Support to Decentralization Efforts

USAID missions throughout the region implement Democracy and Governance programs to strengthen the legal/policy framework for decentralization and improving capacities at national and sub-national (regional, provincial, municipal, local) levels. While previous efforts at the sub-national levels have been largely focused on strengthening administrative and fiscal capacity, there is growing interest within USAID in supporting the new authorities and responsibilities that national governments are devolving/delegating to sub-national levels, especially in land-use planning and disaster risk management.

As part of this initiative, USAID/OFDA seeks to support the linkage between improved decentralization processes and increased risk management capacity to strengthen insufficient or incomplete land-use planning and risk identification. Support of this initiative includes the identification of hazard, vulnerability and risk and the development of organizational capacity at sub-national governmental levels to better plan for and reduce risk within territorial boundaries, including the structural and non-structural means to achieve this.

2. United Nations International Strategy for Disaster Reduction (UNISDR) "Making Cities Resilient"<sup>4</sup>

The "Making Cities Resilient" campaign addresses issues of local governance and urban risk. The campaign is aimed at strengthening and supporting local governments, community groups and leaders, local government officials, and technical staff involved in urban development planning and disaster risk management, including national authorities responsible for local and urban development and disaster risk reduction. UNISDR's initiative builds on the priorities identified in the Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters. Almost 900 cities were registered participants in the campaign as of October 15, 2011, with a significant number of the participating cities coming from the LAC region.

The campaign is supporting actions in the following areas:

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<sup>4</sup> [www.unisdr.org/english/campaigns/campaign2010-2015/](http://www.unisdr.org/english/campaigns/campaign2010-2015/)

- Raise the commitment to sustainable urbanization in all spheres of government
- Build partnerships between local and national authorities, along with local actors, civil society groups, academia and expert organizations
- Raise awareness of urban disaster risk and inform people how local governments and citizens can address risk as part of their development planning
- Increase knowledge and improve access to tools, technology and capacity development opportunities for local governments and local actors

Other international organizations, including bilateral donors such as the European Commission-Humanitarian Aid and Civil Protection (ECHO) and development banks, have stimulated the development of methodologies for assessing various aspects of risk that might also be useful for applicants to explore:

- United Nations Development Program (UNDP): <http://www.undp.org/ec/riesgos.php>
- World Bank: <https://www.citiesalliance.org/ca/sites/citiesalliance.org/files/UnderstandingUrbanRisk8-4-2011web.pdf>

Please refer to the OFDA/LAC Disaster Risk Reduction Strategy, 2011, for more details on strategic priorities.

Please refer to the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*, 2008, for more details on Additional Program Description Requirements (APDRs) on specific sectors and sub-sectors eligible for funding under this APS.

### **A. Specific Guidance Regarding OFDA Priority Sectors**

All activities proposed under this APS must fall within the following priority sectors:

- Shelter and Settlements (S&S)
- Economic Recovery and Market Systems (ERMS)
- Water, Sanitation and Hygiene (WASH)

Natural and Technological Risks sector activities will also be considered but must be clearly linked to the three priority sectors listed above.

#### Shelters and Settlements

All S&S sector activities must fall within the following sub-sector:

- Shelter Hazard Mitigation

Within the S&S sector, activities must be linked to the APS program objective of reducing the risk of disasters to shelter, livelihoods and water and sanitation services in hazard prone and vulnerable urban areas through applying a neighborhood approach. Proposed activities under the S&S sector could include, but are not limited to:

- Neighborhood reconfiguration to:
  - Improve accessibility to basic services, markets and evacuation routes.
  - Open up space for future infrastructure improvements and population growth (densification).
  - Voluntarily relocate of especially vulnerable households to safer locations.
- Construction, repair and upgrading of critical infrastructure such as drainage canals, etc.
- Improvements to housing resilience through retrofitting, repairs and upgrading.

### Economic Recovery and Market Systems

All ERMS sector activities must fall within the following sub-sectors:

- Economic Asset Development
- Economic Asset Restoration
- Market Infrastructure Rehabilitation
- Microcredit
- Microfinance Institutions (MFIs)

Within the ERMS sector, activities must be linked to the APS program objective of reducing the risk of disasters to shelter, livelihoods and water and sanitation services in hazard prone and vulnerable urban areas through applying a neighborhood approach. Proposed activities under the ERMS sector could include, but are not limited to:

- Baseline market-system assessments of critical goods and services in neighborhoods and cities as part of the first phase of community-based assessment.<sup>5</sup> This might be, for example, an assessment using the Emergency Market Mapping & Analysis (EMMA) methodology.
- Interventions to improve the resilience of critical market systems to likely future disasters, including:
  - Capacity-building or awareness-raising among small business owners.
  - Facilitating disaster contingency planning throughout the market system.
  - Improving disaster resilience of key market infrastructure (e.g. businesses, storage, transportation) with contributions from relevant market actors.
  - Protecting livelihood assets, incomes, or access to finance at the household level to avoid negative coping strategies in the event of a disaster.
- Identifying and supporting micro/small enterprise or employment opportunities directly linked to disaster risk reduction in shelter or water, sanitation and hygiene including:
  - Waste management, composting, WASH-related services.
  - Manufacture or sale of disaster-preparedness items.

Please note that the use of cash-for-work for community infrastructure repair or natural resource management activities will not be considered for funding under this APS.

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<sup>5</sup> Critical goods and services are defined as those that play a key role in the survival or livelihoods of vulnerable people, either currently or in the event of a disaster.

Applications including activities under the ERMS sector must demonstrate:

- A solid understanding of livelihood patterns and relevant market systems in proposed target project locations.
- The likely impacts of potential disasters on market systems and livelihood patterns.
- How proposed interventions would mitigate negative impacts of potential disasters.
- A strong focus on sustainability, informed by careful market analysis.

### Water, Sanitation and Hygiene

All WASH sector activities must fall within the following sub-sectors:

- Environmental Health
- Hygiene Promotion
- Sanitation
- Water Supply

Within the WASH sector, activities must be linked to the APS program objective of reducing the risk of disasters to shelter, livelihoods and water and sanitation services in hazard prone and vulnerable urban areas through applying a neighborhood approach. All proposed activities must be coordinated with appropriate national and state level government authorities, utility owners/managers, and/or government emergency management bodies. Proposed activities under the WASH sector could include, but are not limited to:

- Documenting existing waste management practices, including solid waste management, medical waste management, and human excreta management.
  - Identifying risks and recommending mitigation actions.
  - Recording baseline information of existing practices and infrastructure to help guide emergency response activities in case of a disaster.
  - At a minimum, behavioral data should include human excreta practices, solid waste management, and feminine hygiene practices.
  - Recommendations to mitigate risks clearly documented and presented to relevant local, state, and national government authorities
- Assessing existing drainage within targeted communities and recommending mitigation activities.
  - Define problem areas, problematic practices, scope, and severity of problems
  - Recommend educational or communication strategies to change risky behaviors
  - Recommend design and construction of new or improvements to existing drainage infrastructure to reduce vulnerabilities to flooding.
- Assessing existing hygiene practices within targeted communities.
  - Document existing hygiene practices and document current efforts, if any, to provide hygiene education.
  - Recommend key behavior messages which are needed within targeted communities.

- Develop education and communication strategy with national, state, and local authorities to improve hygiene messaging
- Assisting local and national government to locate and document all existing water sources in targeted communities.
  - Assist with the creation of a database or the improvement of existing databases.
  - Clearly identify which water sources are utilized by which populations and for what purposes.
  - Identify the most important sources of drinking water and conduct a risk assessment and propose mitigation activities.
  - Minor mitigation activities will be considered for funding, but large scale mitigation activities cannot be funded through this mechanism and should simply be documented and government authorities should be notified of the risks.
  - Identifying and mapping water distribution systems and wastewater collection systems.
  - If target communities are served by utilities (water, sewer, and electrical utilities), conducting sanitary surveys and risk assessments of utilities.
- Improving waste management, water supply, and sanitation through links to the economic recovery and market systems (ERMS) sector through micro/small enterprise or sustainable employment opportunities where possible

### Natural and Technological Risks

All Natural and Technological Risks sector activities must fall within the following sub-sectors:

- Disaster preparedness, Mitigation, and Management
- Geological Hazards
- Hydro-meteorological Hazards

Applications that include activities within the Natural and Technological Risks sector must also include at least one of the above priority sectors (S&S, ERMS, WASH). Applicants must clearly define how Natural and Technological Risks activities address and relate to proposed activities under the priority sector(s) in the application. Stand-alone Natural and Technological Risks sector activities will not be considered under this APS.

If the above requirements are met, proposed activities under the Natural and Technological Risks sector may include, but are not limited to:

- Community-based watershed and natural resource management interventions to reduce impact of hydro-meteorological hazards
- Integrated land-use planning for risk reduction of recurrent multi- hazards such as floods, earthquakes, volcanic eruptions including but not limited to micro-zoning
- Development and implementation of regional, local, or community-based hazard reduction policies and plans, or incorporating hazard reduction policies and plans into existing plans
- Community-based mitigation and preparedness activities for:
  - Geological events such as earthquakes, volcanic eruptions, and landslides, and

- Hydro-meteorological events such as floods, droughts, tsunamis, tropical storms, avalanches and other weather extremes

## **B. General Programmatic Guidance**

- Applications must identify and target disaster prone and vulnerable urban areas in no more than one of the following countries: Haiti (except metropolitan Port-au-Prince), Dominican Republic, Guatemala, El Salvador, Honduras, Nicaragua, Colombia, Ecuador and Peru. Applications targeting multiple countries or countries not identified above will not be considered.
- Proposed projects must be consistent with key international, regional, and national initiatives aimed at promoting DRR in urban areas, including existing ongoing USAID support to decentralization efforts and the United Nations International Strategy for Disaster Reduction (UNISDR) “Making Cities Resilient” campaign ([www.unisdr.org/english/campaigns/campaign2010-2015](http://www.unisdr.org/english/campaigns/campaign2010-2015)). Preference will be given to proposals that provide evidence of coordination with national DRR strategies.
- While USAID/OFDA recognizes the importance of preparedness activities, USAID/OFDA will give preference to projects that prioritize risk reduction activities.
- Proposals should link community initiatives to appropriate local, regional and/or national disaster risk management institutions, mechanisms and/or strategies.
- Many urban areas are at risk of multiple hazards, and USAID/OFDA will give preference to proposals that take a multi-hazard approach.
- Private sector resources should be leveraged wherever possible.
- Programs must address issues of long-term sustainability.
- Applications must include clear transition/exit strategies.
- Successful applications must include a clear evaluation plan designed to measure results and impact of the program.
- Applicants must consider the role that gender plays (the general relationships between men and women in the targeted populations: highly patriarchal/equitable, level of domestic and/or gender-based violence, degree of women’s and girls’ autonomy, etc.) and plan for achieving gender integration and balance, (a) maximizing the gender balance in its staff composition to the degree possible, and (b) consulting men, women and youth in the design and implementation of the program.

## **C. Additional Guidance**

USAID directives now mandate that all agency-funded programs must include a gender analysis that provides information that addresses potential gender inequities and differential program impacts on men, women, girls and boys. All applications must include (1) a brief description of key gender issues relevant to the targeted area, population, and program as a whole; and (2) specific language that addresses gender issues within the technical description for each sub-sector.

A combination of qualitative and quantitative information should be provided, collected by assessment teams that are gender-balanced to the greatest degree possible given the specific context. Field staff should have skills in gender awareness, local knowledge, cultural

understanding and sensitivities, and listening skills. USAID/OFDA encourages the use of participatory methodologies to gather information on the needs and perspectives of women, men, boys and girls. Women should be consulted in equal proportion to men. Evidence suggest that the meaningful participation of women is most likely when they are consulted independently of men, and when possible, disaggregated by age, and diversity factors, (such as religion and ethnicity) particularly when power differentials exist.

Applications must demonstrate consideration of the unintended consequences of the proposed intervention to women, men, boys and girls, and show that the program has reviewed the intervention with a “do no harm” lens.

### **3. Program Duration**

The program duration may be up to 24 months from the date of award. USAID/OFDA plans to fund approved activities starting in FY2012 (October 1, 2011-September 30, 2012) but reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

### **4. Anticipated Funding Availability**

USAID/OFDA anticipates that up to approximately US\$ 6 million will be available to support the program(s) or activity(ies) described herein, although final funding levels will depend on content, quality, number of applications received, needs, availability of funding, and competing priorities.

USAID/OFDA will not consider any applications above a maximum amount of US\$ 2 million.

### **5. Anticipated Number of Awards**

USAID/OFDA plans to make multiple awards under this APS. Nevertheless, USAID/OFDA reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

### **6. Type of Award(s)/Substantial Involvement**

USAID/OFDA anticipates that cooperative agreements will be awarded as a result of this APS. Cooperative agreements are identical to grants except that USAID/OFDA may be substantially involved in the following areas:

- (a) USAID/OFDA approval of the recipient’s implementation plans (limited to not more frequently than annually);
- (b) USAID/OFDA approval of specified key personnel (limited to 5 positions or 5% of the recipient’s total team size, whichever is greater);

(c) USAID/OFDA and recipient collaboration or joint participation which includes one or more of the following:

- Collaborative involvement of selection of advisory committee members (USAID/OFDA may also choose to become a member), if applicable;
- USAID/OFDA concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
- USAID/OFDA approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);
- USAID/OFDA monitoring to permit direction or redirection because of interrelationships with other projects; and

(a) USAID/OFDA authority to immediately halt a construction activity, if applicable.

## **7. Cost-Sharing (Matching)**

### **(a) NGOs**

NGOs are not required to include counterpart funding. However, applications that include additional in-kind and/or cash contributions from non-USG sources will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities and will be rewarded under the “cost-effectiveness” evaluation criterion set forth in Section F below. Cost-sharing will be subject to 22 CFR 226.23 and the standard provision entitled “Cost Sharing (Matching)” (U.S. NGOs) or the standard provision entitled “Cost-Sharing (Matching)” for non-U.S. NGOs (see Section G.2 below).

### **(b) PIOs**

PIOs are required to provide at least 10% of the total program cost of in-kind and/or cash contributions from non-USG sources. Any cost-sharing above this amount will be rewarded under the “cost-effectiveness” evaluation criterion (See Section F below).

## **8. Program Income**

### **(a) NGOs**

If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to USAID/OFDA funding (and any cost-sharing that may be provided) and used for program purposes. However, pursuant to 22 CFR 226.82, if the successful applicant is



a for-profit organization, any program income generated under the award(s) will be deducted from the total program cost to determine the amount of USAID/OFDA funding. Program income will be subject to 22 CFR 226.24 (U.S. NGOs) or the standard provision entitled “Program Income” for non-U.S. NGOs (see Section G.2 below).

**(b) PIOs**

Any program income generated under the award(s) will be added to USAID/OFDA funding (and any non-USAID/OFDA funding that may be provided) and used for program purposes.

**9. Authorized Geographic Code**

**(a) NGOs**

USAID’s rules for the source and componentry of goods (other than “restricted goods,” as described in ADS 312 [<http://www.usaid.gov/policy/ads/300/312.pdf>]), and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314 [<http://www.usaid.gov/policy/ads/300/314.pdf>]), which are financed by USAID and procured by the recipient under the award(s) resulting from this APS, are set forth in 22 CFR 228 ([http://www.access.gpo.gov/nara/cfr/waisidx\\_08/22cfr228\\_08.html](http://www.access.gpo.gov/nara/cfr/waisidx_08/22cfr228_08.html)). These rules do not apply to procurement by the recipient with cost-sharing or program income funds. Except as authorized under USAID’s “Local Procurement” rules (see 22 CFR 228.40), the authorized geographic code (see 22 CFR 228.1) for the award(s) resulting from this APS is 935, subject to the recipient’s compliance with the order of preference and file documentation requirements set forth in paragraph (b)(1) of the standard provision entitled “USAID Eligibility Rules for Goods and Services” (see Section G below).

**(b) PIOs**

As indicated in ADS 308, USAID’s procurement rules do not apply to awards to PIOs unless USAID is the sole contributor to a trust fund established by the PIO (see Section G.3). If USAID is the sole contributor, the same rules, as prescribed in subparagraph (a) above for NGOs, will apply.

**10. Title to Property**

**(a) NGOs**

Title to property financed by USAID/OFDA under the award(s) will vest in the recipient, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled “Title To and Use of Property (Recipient Title; Over \$50,000) for non-U.S. NGOs (see Section G.2 below).

**(b) PIOs**

Title to property financed by USAID/OFDA under the award(s) will vest in the recipient without further obligation to USAID/OFDA, unless USAID is the sole contributor to a trust fund established by the PIO (see Section G.3). If USAID is the sole contributor, all such property will

be subject to the standard provision entitled “Title To and Use of Property (Recipient Title; Over \$50,000).”

## **11. Post-Award Reporting**

### **(a) Programmatic Reporting**

#### **(1) NGOs**

Programmatic reporting will be in accordance with the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting* (see Section E.1 below). Quarterly program performance reports are required.

#### **(2) PIOs**

Programmatic reporting requirements shall be in accordance with the recipient’s standard reporting prepared for all donors, unless USAID is the sole contributor to a trust fund established by the PIO (see Section G.3), in which case, USAID/OFDA may require the same reporting requirements as for NGOs (see preceding paragraph above).

### **(b) Financial Reporting and Payment**

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant’s systems, policies, and procedures meet USG and USAID requirements [see Section C.1.(c) below]. The recipient(s) will be required to have a U.S. bank account into which payments under the award will be made.

## **C. APPLICANT ELIGIBILITY**

USAID/OFDA will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law. Applicants must have completed all required steps (if any) with the host government to legally operate their program. ALL applicants must be currently registered in the Central Contractor Registration (CCR) database and must include the date of their CCR expiration. For registration, go to:  
<https://www.bpn.gov/ccr/default.aspx>.

The following types of organizations may apply for USAID/OFDA funding under this APS:

### **1. Non-Governmental Organizations (NGOs)**

#### **(a) Types and Nationalities of NGOs**

##### **(1) U.S. and Non-U.S. Non-Profit Organizations**

Qualified U.S. and non-U.S. private non-profit organizations may apply for USAID/OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

### **(2) U.S. and Non-U.S. For-Profit Organizations**

Qualified U.S. and non-U.S. private for-profit organizations may apply for USAID/OFDA funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

### **(3) U.S. and Non-U.S. Colleges and Universities**

Qualified U.S. and non-U.S. colleges and universities may apply for USAID/OFDA funding under this APS. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

### **(b) Registration as a Private Voluntary Organization (PVO)**

Pursuant to ADS E251.5.3.(a)6, applicants do not need to be registered with USAID as a PVO to be eligible for funding under this APS.

### **(c) “Responsibility” of Applicant**

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

The following criteria are used by USAID in determining an applicant’s “responsibility:”

- 1) Adequacy of Applicant’s Program Description, Budget, and Monitoring System.
- 2) Adequacy of the Applicant’s Financial Resources for Program Performance.
- 3) Applicant’s Ability to Meet Award Conditions:
  - (A) Compliance of Applicant’s Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.

- (B) Compliance of Applicant's System of Reports and Records with 22 CFR 226.50-53.
  - (C) Compliance of Applicant's Internal Control Systems with Applicable USG Cost Principles.
    - (i) Internal Controls.
    - (ii) Personnel Policy is Reasonable under Applicable USG Cost Principles.
    - (iii) Travel Policy is Reasonable under Applicable USG Cost Principles and the U.S. Department of State's *Standardized Regulations (Government Civilians, Foreign Areas)* (<http://aoprals.state.gov/>), and Complies with Fly America Requirements.
  - (D) Compliance of Applicant's Property Management System with 22 CFR 226.30-37.
  - (E) Compliance of Applicant's Sub-Award Administration and Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's *Guidelines for Financial Audits Contracted by Foreign Recipients* (<http://www.usaid.gov/policy/ads/500/591maa.pdf>) for non-U.S. NGOs.
  - (F) Compliance of Applicant's Purchasing System/Contracting Procedures with 22 CFR 226.40-49.
  - (G) Applicant's Absorptive Capacity Given Other Existing and Potential Work Commitments.
- 4) Satisfactory Record of Performance by Applicant.
  - 5) Satisfactory Record of Business Integrity by Applicant.
  - 6) Applicant is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

In the absence of an affirmative "responsibility" determination, an award can ordinarily not be made. However, in rare cases, an award can be made with "special award conditions" (*i.e.*, additional non-standard award requirements designed to minimize the risk presented to USAID

of making an award to an NGO for which an affirmative determination of “responsibility” cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

**(d) New Partners**

Partners new to USAID and/or USAID/OFDA may submit applications. However, resultant awards to these organizations may be significantly delayed if USAID/OFDA must undertake necessary pre-award reviews of these organizations to determine their “responsibility” (see subparagraph [c] above). These organizations should take this into account and plan their implementation dates and activities accordingly.

**(e) Applicants for Additional/Continued OFDA Funding of Existing Programs (“Cost Extensions”)**

Current NGO implementing partners must apply for additional/continued USAID/OFDA funding of existing programs under this APS.

**2. Other USG Agencies**

USG departments and agencies may not apply for USAID/OFDA funding under this APS.

**3. Public International Organizations (PIOs)**

PIOs are not required to apply for USAID/OFDA funding under this APS.

**4. Foreign Governmental Organizations**

Foreign governmental organizations are organizations that function as a governing body, such as foreign ministries and local governments. Foreign governmental organizations may not apply for USAID/OFDA funding under this APS. Note: USAID policy makes foreign governmental organizations ineligible as sub-recipients under awards to NGOs unless special approval is provided. Even if special approval is provided, potential applicants must consider the impact of foreign governmental organizations' sovereignty on issues such as audits, cost disallowances, disputes, etc. (see <http://www.usaid.gov/policy/ads/300/updates/>). In addition, USAID policies do not permit the payment of "salary supplements" to employees of a host government except in exceptional circumstances and with special approval. Additional guidance on salary supplements may be found at: <http://www.usaid.gov/policy/ads/200/119780.pdf>.

**5. Code of Conduct**

As a condition for any award resulting from this APS, applicants must have adopted a code of conduct that addresses the protection of beneficiaries of assistance from sexual exploitation and abuse in humanitarian relief operations. Such code of conduct is described in the “Notices” section (page 1) of the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*.

## **D. SELECTION PROCESS AND SCHEDULE**

### **1. Selection Process**

Applications will be evaluated in accordance with the criteria set forth in Section F below. After evaluation of the applications, either award(s) will be made, or, if deemed necessary or desirable by USAID/OFDA, written and/or verbal discussions/negotiations will be conducted with applicants that submit the most highly rated applications. After the conclusion of any such discussions/negotiations, such applicants will, unless otherwise advised, be required to submit a revised application, which will be re-evaluated against the criteria set forth in Section F below. Ordinarily, award(s) will be made after the first round of any such discussions/negotiations and revised applications; however, USAID/OFDA reserves the right to conduct subsequent rounds of discussions/negotiations and revised applications, and to limit the number of applicants with whom such subsequent discussions/negotiations would be conducted and revised applications requested.

### **2. Schedule**

This APS is open for six months from the date of issuance, although USAID/OFDA plans to review applications in batches. Applications received no later than **5:00 p.m. Eastern Time (ET) on April 9, 2012** will be included in the first batch of applications for review.

Questions concerning the first batch of applications under this APS must be received no later than **March 5, 2012**. Following this date, the questions received by that date, if any, (without attribution to the organization), and answers will be posted as an amendment to this APS if necessary in submitting applications or if the lack of such information would be prejudicial to any other prospective applicant. Questions must be in writing and should be e-mailed to [OFDA\\_APS@ofda.gov](mailto:OFDA_APS@ofda.gov). Oral explanations or instructions given before award(s) is/are made will not be binding.

This APS may be amended either to establish subsequent deadlines or to indicate that an award(s) has/have been made and that no further funding is available. If an award(s) results from the first batch of reviewed applications, the award date is anticipated to be **July 31, 2012**. Late applications will only be considered under subsequent batches of applications, if any.

## **E. GENERAL GUIDANCE**

### **1. OFDA *Guidelines for Unsolicited Proposals and Reporting***

Except as may be stated otherwise in this APS, applicants must submit their applications in compliance with USAID/OFDA's *Guidelines for Unsolicited Proposals and Reporting*. Applications that do not adhere to those Guidelines will not be considered for funding. USAID/OFDA's *Guidelines for Unsolicited Proposals and Reporting*, which is available at [http://www.usaid.gov/our\\_work/humanitarian\\_assistance/disaster\\_assistance/resources/pdf/updated\\_guidelines\\_unsolicited\\_proposals\\_reporting.pdf](http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/updated_guidelines_unsolicited_proposals_reporting.pdf), stipulates that they do not apply to Annual Program Statements. However, many parts of those *Guidelines* are equally applicable regardless of whether USAID/OFDA solicits concept papers and/or applications (such as through this APS)

or an organization submits an unsolicited application. Thus, for the sake of brevity and in order to prevent unnecessary redundancies, parts of this APS may refer potential applicants to those *Guidelines* and/or may specify that it is an explicit exception to those *Guidelines*. In the event of any inconsistencies between this APS and those *Guidelines*, this APS shall prevail. Applicants are also encouraged to review *Results-Oriented Assistance: A USAID Sourcebook* (<http://www.usaid.gov/pubs/sourcebook/usgov/>), which may also prove helpful in preparing applications.

## **2. Content of Applications**

Except as may be stated otherwise in this APS, applicants must submit their applications in compliance with the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*. Applications that do not adhere to those *Guidelines* will not be considered for funding. Under this APS, all proposed activities must fall under the Shelters and Settlements, Economic Recovery and Market Systems, and Water, Sanitation and Hygiene sector(s) and these corresponding subsectors: Shelter Hazard Mitigation, Economic Asset Development, Economic Asset Restoration, Market Infrastructure Rehabilitation, Microcredit, Microfinance Institutions (MFIs), Environmental Health, Hygiene Promotion, Sanitation, and Water Supply as described in those *Guidelines*. As noted in those *Guidelines*, all required indicators for each subsector must be used. Activities proposed under the Natural and Technological Risks sector and these corresponding subsectors: Disaster Preparedness, Mitigation, and Management, Geological Hazards, and Hydro-meteorological Hazards will be considered but must adhere to the requirements of this APS (See Section B: Specific Program Guidance).

Applicants are requested to state in their applications: (1) the estimated cost per beneficiary; and (2) the percentage of the total affected population (by administrative unit or site) to be served under any resulting award. Applicants must consider the role that gender plays, demonstrate an understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security, and include a plan for achieving gender-integration and -balance.

It is recognized that, in some programs, identification of specific teaming partners and sub-recipients cannot occur until after award and, hence, specific delineation of responsibilities and costs cannot be provided in the application. Nevertheless, such information is, in fact, often known at the time the application is being prepared. In order to reduce the post-award administrative burden of obtaining post-award approval for such sub-awards, and thereby, facilitate program implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify such teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their concept paper and/or application, if any, to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application.

Applications must be submitted in English. Documentation in other languages may be included as long as there is an English translation. Applications should use Word 2000 or newer and/or Excel 2000 or newer. The signed certifications and representations (see Section V.H of the



USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*) are required at the time of submission of an application and may be provided in PDF format. Applications submitted without the required signed documentation will not be considered.

All applications should contain a strong analysis of the potential impact of the program on communities, and applicants should demonstrate a willingness to work directly with relevant local government offices, community leaders, and practitioners within the local communities. Community participation in developing the activities presented in the application should be demonstrated. Should applicants include implementing partners for any of the proposed activities, they will need to demonstrate that their proposed activities have been discussed with and agreed to by those implementing partners, and that adequate consultation has taken place to avoid duplication of efforts. Programs are encouraged to promote interaction and cooperation across a range of stakeholders and partners, including governmental agencies, non-governmental organizations, community groups, etc.

USAID/OFDA encourages international NGOs to support, mentor, partner, and collaborate with local organizations. OFDA will consider funding activities under technical sectors and subsectors that improve local organizations' capacity to achieve the technical objective. It is the responsibility of applicants to ensure that local partners do not appear on the Excluded Parties List (which includes the U.S. Department of Treasury's Office of Foreign Assets Control "*Specially Designated Nationals and Blocked Persons List*"), which can be found at: <http://www.epls.gov>. Applicants working through local partners must ensure that local organizations have the capacity to carry-out expanded programs, and should consider a capacity-building component which will leave a lasting impact on local organizations.

### **3. Place and Means of Submission**

Applications must be submitted electronically by email to OFDA\_APS@ofda.gov. Copies in .zip format may not be submitted since they are automatically quarantined by USAID's computer security system.

### **4. Communications with OFDA**

As an exception to the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*, potential applicants may not have contact with USAID/OFDA except as described in Section D above.

### **5. USAID Disability Policy and Accessibility Standards**

The applicant's attention is directed to Section VI.A of the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*. These policies have implications for both the program design and program budget.

### **6. Voluntary Survey on Faith-Based and Community Organizations**



The applicant is encouraged, but is not required, to submit USAID's Voluntary Survey on Faith-Based and Community Organizations, as described in Section VI.C of the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*. This does not apply to PIOs or foreign governmental organizations.

## **7. Branding Strategy and Marking Plan (BS/MP)**

NGO and foreign governmental organization (but not PIO) applicants are required to comply with 22 CFR 226.91 (see Section G below) and USAID Acquisition and Assistance Policy Directive (AAPD) 05-11 ([http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf)). As an exception to Section V.G of the USAID/OFDA *Guidelines for Unsolicited Proposals and Reporting*, applicants are encouraged, but are not required, to submit their BS/MP with their applications. Applicants who choose not to include their BS/MP with their application will not be penalized during the evaluation process, but should be aware that, if the applicant is the/an apparently successful applicant, the applicant will be required to submit an acceptable BS/MP as a prerequisite for any resulting award. This would delay any such award, pending receipt and review of the applicant's BS/MP. Moreover, because USAID's branding and marking requirements have cost implications, such costs should be included in the application budget even if the applicant does not submit its BS/MP with the application. These rules do not apply to PIOs.

## **8. Ineligible Goods and Services, Ineligible Suppliers, and Restricted Goods**

The applicant's attention is directed to Section V.F of the USAID/OFDA *Guidelines for Unsolicited Proposals*, as well as ADS 313 (<http://www.usaid.gov/policy/ads/300/313.pdf>). These rules and requirements may affect the program design, budget, timing of award, and/or timely program implementation and post-award administration. These rules do not apply to PIOs unless USAID is the sole contributor to a trust fund established by the PIO.

## **9. Past Performance References**

Applicants must submit at least three (3) past performance references that demonstrate the organization's success and sector expertise in implementing similar programs. Applicants must include the contact names, telephone numbers, email addresses, and title of the referenced project for any references provided in an annex to the application.

## **F. EVALUATION CRITERIA**

Applications will be reviewed jointly by USAID/OFDA/Washington and USAID/OFDA field staff in accordance with the following evaluation criteria. Other USAID staff, USG agencies, USAID/OFDA consultants, and other partners may also be invited to review applications on a case-by-case basis provided that such participation does not create a conflict of interest, and further provided that information contained in the application shall be used only for evaluation purposes and shall not be disclosed outside USAID/OFDA. Award(s) will be made to organization(s) whose application(s) offer the best value to USAID.

The evaluation criteria and their respective weight (out of a total of 100 points) are:

1) Justification for Proposed Intervention(s) – 20 points

The applications will be evaluated based on the justification provided for the proposed program in terms of:

- Identified need(s) based on assessments or surveys using sound methodology, and the appropriateness of proposed intervention(s) to meeting those needs.
- Needs have been quantified, to the extent possible, using **Sphere Guidelines** or other national/international standards;
- The extent of the applicant's attempt to obtain historical and/or baseline data so that the status of the situation can be assessed.
- The extent to which activities target identified needs and fill gaps in current humanitarian programs.
- Consultation with targeted communities prior to submission of the application and incorporation of their concerns and needs into the application.

2) Program Description - 35 points

The application shall be evaluated from a technical perspective in terms of:

- The application provides sufficient detail for the concrete understanding of methods to be used and for a determination of technical appropriateness to be made.
- The activities are consistent with Section B of this APS.
- Appropriateness of proposed activities to addressing needs and OFDA's objectives within the proposed timeframe.
- Methodology for selecting the targeted population(s); target population clearly identified in terms of number, location, and current status.
- Protection and conflict mitigation issues are clearly addressed throughout the Program Description.
- A demonstrated understanding and sensitivity to the real or perceived impact that gender and other personal attributes may have on personal security.
- The degree to which gender is meaningfully mainstreamed throughout the proposal, including a gender analysis, considerations on how collection, analysis, and mapping of information will address the differential impacts of disasters on men and women, and how balanced participation of men and women in activities and decision-making will be achieved.
- Strength and realism of the Monitoring and Evaluation plan in measuring results and impact of the program.
- Appropriateness of proposed indicators; the organization has made an attempt to identify impact, as well as output, indicators.
- Level of innovation and creativity in the program design and implementation.
- A well-planned transition/exit strategy that transfers activities to host government institutions, local partners, and/or beneficiaries.

3) Institutional Capability and Past Performance - 10 points

Applicants will also be evaluated based on their institutional capability and past performance, specifically:

- Contextual knowledge of the country of the proposed intervention, including political, economic, cultural, social, and institutional norms.
- The applicant's capability and competence in the activities being proposed, as demonstrated by relevant experience and technical expertise in previous programs.
- The applicant's ability to begin implementation expeditiously.
- Past performance record, including relationships with U.S. and host government authorities and target populations (see Section VI.D.3 of the OFDA *Guidelines for Unsolicited Proposals and Reporting*).

4) Sustainability - 10 points

Applications will be evaluated for sustainability in terms of the applicant's plan for how resources might be obtained to continue the activity or program, if appropriate (*e.g.*, cost-recovery mechanisms, discussions with development partners, etc).

5) Coordination - 10 points

Applications will be reviewed in terms of the described level of coordination, specifically:

- An overview of how the proposed activities will complement other planned or ongoing initiatives (both those of the applicant and those of other partners/donors) in the country of operation (*e.g.*, how the proposed activities will interact and be sequenced with other humanitarian initiatives in the operational area or adjacent areas, how differing approaches are addressed in the proposed activities in order to minimize potential conflict amongst beneficiary populations.).
- Demonstrated adherence to processes, guidelines and policies established by appropriate host government institutions and/or international agencies.
- Incorporation of local institutions, organizations or beneficiary groups into the program planning and implementation.

6) Cost -- 15 points

With regard to cost, the following sub-criteria will be used:

- Cost-effectiveness: percentage of the overall budget which goes to direct assistance for beneficiaries, and the significance of the program impact in terms of the number of beneficiaries and/or cost per beneficiary to USAID/OFDA.
- Cost realism: costs are consistent with likelihood that the program can be accomplished within the stated budget.

**G. AWARD ADMINISTRATION AND RELEVANT WEBSITES FOR REFERENCE**

## **1. U.S. Non-Governmental Organizations**

Awards to U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 22 CFR 226 which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html).
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122); and
- OMB Circular A-133 for both universities and non-profit organizations, all of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at [https://www.acquisition.gov/far/html/Subpart%2031\\_2.html](https://www.acquisition.gov/far/html/Subpart%2031_2.html).
- USAID Standard Provisions for U.S. Non-Governmental Organizations, which are available at: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>.

## **2. Non-U.S. Non-Governmental Organizations**

Awards to non-U.S. NGOs resulting from this APS will be administered in accordance with the following:

- Chapter 303 of USAID's Automated Directives System (ADS-303), which is available at <http://www.usaid.gov/policy/ads/300/303.pdf>.
- 2 CFR 220 for universities (formerly OMB Circular A-21); or
- 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), both of which are available at <http://www.whitehouse.gov/omb/circulars/index.html>.
- 48 CFR 31.2 for for-profit organizations, which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/48cfr31\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/48cfr31_03.html).
- USAID Standard Provisions for Non-U.S. Nongovernmental Organizations, which are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>.
- 22 CFR 226 which is available at [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html). Note that, while 22 CFR 226 does not directly apply to non-U.S. NGOs, USAID policy is to apply this regulation to non-U.S. NGOs to the extent practicable.

### **3. PIOs**

Awards to PIOs resulting from this APS will be administered in accordance with the following:

- ADS-308, which is available at <http://www.usaid.gov/policy/ads/300/308.pdf>.
- USAID Standard Provisions for Public International Organizations, which are available at <http://www.usaid.gov/policy/ads/300/308mab.pdf>.